



United States
Environmental Protection
Agency

EPA RECORDS MANAGEMENT CHECKLIST FOR SEPARATING/TRANSFERRING OR SEPARATED PERSONNEL

ALL PERSONNEL ARE REQUIRED TO COMPLETE THIS CHECKLIST AND EPA FORM 3110-2 BEFORE SEPARATING FROM EPA. BEFORE TRANSFERRING TO ANOTHER PROGRAM OFFICE OR REGION WITHIN EPA, JUST THIS CHECKLIST MUST BE COMPLETED. ALL PERSONNEL ARE REMINDED THERE ARE ADDITIONAL RESPONSIBILITIES TO MAINTAIN ANY INFORMATION THAT MAY BE SUBJECT TO A LITIGATION HOLD. EMPLOYEES AND SUPERVISORS MUST FOLLOW SEPARATE CLEARANCE PROCEDURES FOR LITIGATION HOLDS. SEE THE BACK OF THIS PAGE FOR ADDITIONAL INFORMATION.

PERSONNEL BACKGROUND INFORMATION

Name: Andrew Wheeler Job Title: Administrator Date: 1-14-2021
Supervisor: _____ Office: AO Records Liaison Officer (RLO): _____
Brief description of job duties: Administrator
Describe major records that you maintain: _____
Employment Status: EPA Employee ☒ or Other ☐ (Specify: _____) Location: _____
Separating ☒ or Transferring ☐ Separated ☐ Approximate date of action: Nov 1-20-2021
If transferring – New Program/Region: _____ Office: _____ Location: _____
New RLO: _____

POTENTIAL RECORD SOURCES TO BE REVIEWED

Each box below must be initialed by the employee, supervisor, and RLO or designee after records in each location have been identified and appropriately managed. If not applicable, boxes should be marked as N/A. Documents and records in all media (including email, hard drives, social media platforms, portable electronic storage devices, Local Area Network, servers, collaboration tools, etc.), including working documents of completed, ongoing and pending activities (e.g., special projects and workgroups) should be transferred to an EPA recordkeeping system, when possible, or transferred to your supervisor or successor. Initial When Completed. Indicate new custodian in comments section, if applicable. For senior officials, the IMO or designee should initial in the Supv box in lieu of a supervisor.

		Initial				Initial		
		Emp	Supv/ IMO	RLO		Emp	Supv/ IMO	RLO
1.	Email records in personal, primary and secondary (group and/or special purpose) email accounts, text messages, social media records, IM, etc.	<u>AW</u>		LF	8.	Program File Rooms (RCRA, Air, Water, etc.) and Federal Records Center (FRC) Initialed by Records Contact /Designee. • Returned all files checked out • Submitted new records to be filed	<u>NK</u>	LF
2.	Portable electronic storage devices (CDs, DVDs, USBs, floppies, etc.) (List in comments)	<u>NA</u>		LF	9.	Superfund Records Center Initialed by Records Contact/Designee • Returned all files checked out • Submitted new records to be filed	<u>NK</u>	LF
3.	Agency provided and personal mobile devices (cell phone, iPhone, iPad, other cell phone, tablet, etc..)	<u>NA</u>		LF	10.	Employee's workspace checked for records (If not transferred, who will transfer? List name in comments.)	<u>AW</u>	LF
4.	Local Area Network files and Shared drive(s), transfer electronic files to EZ Desktop.	<u>AW</u>		LF	11.	Confidential Business Information (CBI) Initialed by Document Control Officer (DCO). Returned all files checked out Submit request to DCO to terminate CBI Authorized Access.	<u>NK</u>	LF
5.	Local hard drive and records on personal computer	<u>AW</u>		LF	12.	Identify any known open FOIA requests assigned to you for which the collection has not been completed by name/number; list in comments.	<u>AW</u>	LF
6.	Microsoft Office Collaboration Tools (SharePoint, OneDrive, etc.) (List the tools in comments.) Transfer database ownership (see Registry of EPA Applications, Models and Data Warehouses (READ))	<u>AW</u>		LF	13.	Identify and preserve current or potential litigation hold materials. If you have been identified as a litigation hold custodian or data steward, for each hold, use the comments section to (a) list the litigation hold and case attorney names, (b) describe the litigation hold materials in your possession, custody or control, and (c) list the location of those materials. To obtain a list of your litigation holds, go to (b) (6)	<u>AW</u>	LF
7.	Desktop Geographic Information Systems (GIS), local GIS servers, and GeoPlatform	<u>NA</u>		LF	14.	Identify and preserve existing audit or Congressional inquiry materials for which you have been identified as a custodian by name/number in comments.	<u>NA</u>	LF

COMMENTS: For any items requiring additional notation or if any box above is left blank, you must provide an explanation. If there are any other areas where you have stored records, please describe them and their disposition here. Additional pages may be attached as needed.

I have reviewed the list of litigation holds to which I am subject, and I acknowledge that I am a custodian on these holds. To the extent that I have potentially responsive records, they will be found in my email accounts, electronic files and/or the hard copy files that I have transferred to the Office of the Executive Secretariat as custodians of my records.

COMPLETE FOR STAFF TRANSFERRING WITHIN EPA

The RLO for the originating office fills in the following information.


When this form is complete, a copy must be sent to the RLO for the new program/region. The originating office RLO must also notify the ECMS Help Desk (ecms@epa.gov) to move the transferring staff's ECMS registration to the new program/region.

Originating Office RLO Name: _____ Program/Region _____ Office _____

New Office RLO Name: _____ Program/Region _____ Office _____

CERTIFICATIONS

To the best of my knowledge, I certify that all U.S. Government documentary materials including litigation hold, audit, and congressional inquiry materials, in any format, have been identified and transferred to the appropriate recordkeeping system or designee and that the statements made on this Checklist are true, accurate, and complete.

1. Employee (signature)  (print name) Andrew Wheeler Date: 1-14-2021

2. Supervisor/designee (signature)  (print name) Wesley Carpenter Date: 2/2/2021

OR for Senior Officials

IMO/designee (signature) _____ (print name) _____ Date: _____

3. RLO/designee (signature) Lena Ferris (print name) Lena Ferris Date: 1/19/21

INSTRUCTIONS

This Checklist is to be utilized as detailed in EPA's **Procedure on Preservation of Separating, Transferring or Separated Personnel's Records in Accordance with the Federal Records Act**. The purpose of the Checklist is to help EPA personnel identify all potential locations of records in their custodianship. For personnel who have separated, the supervisor/manager should review the person's records first, and ensure actions taken on records are documented on EPA Form 3110-49. See Preservation of Separating, Transferring or Separated Personnel Records, Section III A and B, Separated Personnel, https://www.epa.gov/sites/production/files/2020-07/documents/preservation_separating_transferring_or_separated_personnel_records.pdf; 44 U.S.C. § 3106; Unlawful removal, destruction of records 36 CFR § 1230 Unlawful or Accidental Removal, Defacing, Alteration or Destruction of Records https://www.ecfr.gov/cgi-bin/text-idx?SID=8ca786c32479fb9fba535f5d1c3c61d9&mc=true&tpl=/ecfrbrowse/Title36/36cfr1230_main_02.tpl

PERSONNEL BACKGROUND INFORMATION SECTION to be completed by Employee or Supervisor.

For the statement "Describe major records that you maintain," if the individual does not have specific records management responsibilities, "routine recordkeeping responsibilities" may be entered.

POTENTIAL RECORD SOURCES TO BE REVIEWED SECTION

Employee, Supervisor/Designee, Records Liaison Officer (RLO)/Designee must all initial the Checklist for each numbered item.

1. Initial in the "completed" box next to each description to note that records have been identified, captured in an approved recordkeeping system or transferred to another employee, or enter "N/A" if that item is not applicable for that individual. (Not every description will be applicable to all personnel, i.e., not all personnel have an EPA provided iPhone, etc.)
2. If any box is left blank, provide explanation in the comment field.
3. For items requiring additional notations, use the comment field, noting the item number being clarified.
4. Supervisor and RLO/designee are responsible for resolving any item which has not been initialed. Final resolution should be noted in the comments section of the Checklist when completed.

CERTIFICATIONS SECTION

If the individual has already separated from EPA, insert "N/A-already separated" on the Employee signature line. The supervisor or designee and the RLO will be responsible for completing this checklist and certifying, to the best of their knowledge, that all records were properly identified and saved to a recordkeeping system. This completed, certified original Checklist should be maintained by the local Records Liaison Officer/designee in accordance with Schedule 0568 or appropriate subsequent schedule.

Employee Mobile Device Acknowledgement Form (Page 1 of 5)

IPAD

EPA PROPERTY DECAL #/ IMEI # (EXCEPT NEW DEVICE ORDERS): DECAL: SQ3488/IMEI: 354887090666886

This form is being completed to authorize a (check one only):

1. DEVICE UPGRADE/REPLACEMENT (RETURN OF OLD DEVICE AND ASSIGNMENT OF NEW DEVICE) ☐
 2. NEW DEVICE (NO OLD DEVICE, ASSIGNMENT OF NEW DEVICE) ☐
 3. DEVICE RETURN (RETURN OF OLD DEVICE, NO NEW DEVICE ASSIGNED) ☐
 4. DEVICE WITH NO CONTENT CAPACITY (E.G. AIR CARDS, ACCESSORIES) ☒
- SIGNATURE OF ORDERING OFFICIAL FOR DEVICE WITH NO CONTENT CAPACITY — NO FURTHER ACTION REQUIRED: _____

The signed copy of this notice is to be stored in the EPA's eBusiness system with the record for the associated device. In cases where the device is being replaced with a new device, the new device cannot be issued until the MD Acknowledgement form for the previous device is received.

INSTRUCTIONS (TO BE COMPLETED FOR ACTION 1-3 ABOVE):

1. EMPLOYEE MUST READ ALL INFORMATION IN BOX 1 BELOW
2. EMPLOYEE MUST SIGN ATTESTATION IN BOX 2 BELOW
3. UPLOAD COMPLETED FORM TO EBUSINESS
4. PROVIDE DEVICE TO EMPLOYEE/ACCEPT DEVICE FROM EMPLOYEE WITH A SIGNED COPY OF THE MD ACKNOWLEDGMENT FORM

BOX 1

Employee Mobile Device Notice

You Have No Expectation of Privacy for Any Activity on this Device

You are accessing a U.S. Government information system, which includes: (1) this mobile device, (2) any U.S. Government network you connect to with this device, and (3) all devices and storage media attached to this network or to a computer or mobile device on this network. This information system is provided for U.S. government-authorized use only. Unauthorized or improper use of this system or your EPA email address may result in disciplinary action, as well as civil and criminal penalties. By using this information system you understand and consent to the following: You have no reasonable expectation of privacy regarding any communications or data transiting or stored on this information system. You are not to backup records to personal email accounts, devices, or personal files. At any time, the government may for any lawful governmental purpose monitor, intercept, wipe or reset, search and seize any communication or data transiting or stored on this information system. Any communications or data transiting or stored on this information system may be disclosed or used for any lawful government purpose.

EPA reserves the right to install or update a mobile device management software to secure, monitor, manage and support mobile devices deployed across the Agency.

You Have a Duty to Retain Records

This device is subject to EPA's Records Management Policy, CIO 2155.3 (approved February 10, 2015). You have an obligation to preserve agency records transmitted or stored on this device in the course of official agency business that may be subject to preservation or production requirements under the Federal Records Act, the Privacy Act, the Freedom of Information Act, litigation holds, or court preservation orders. Such records may include, but are not limited to, text messages, email messages, voicemail messages, photographs, call logs and calendar entries. Before returning this device, you must ensure that you have met your duties to preserve such information.

Employee Mobile Device Acknowledgement Form (Page 2 of 5)

Box 1 Cont.

Notice to Users who are returning mobile devices: You have an obligation to preserve all records for the purposes listed or described in the above paragraph that are located on your current mobile device(s). By accepting this new device and by signing this notice, you hereby attest that you have met your obligation to preserve all such records before such devices are returned to the Agency. Knowing or willful misrepresentation with respect to these matters may subject you to administrative, civil, or criminal penalties.

(**Note:** Records may be preserved by forwarding them to your EPA email account and filing them using EZ Records, or copying, saving, downloading or otherwise transferring and reproducing them to an EPA system.)

Quick Reference Guide, How to Save Text Messages:

(b) (6) (b) (6)

Mobile and Portable Devices, and Records:

(b) (6) (b) (6)

Limited Personal Use of Government Equipment

Use of this device is subject to EPA's Limited Personal Use of Government Equipment Policy, CIO 2101.0. You cannot use this device for any unlawful purpose or for any purpose prohibited by EPA policy. Prohibited activities include but are not limited to pornography, gambling, political activity, charitable fundraising, or compensated outside activity.

Specific Rules Regarding Mobile Devices and Mobile Device Software

As a user of a government-issued mobile device, YOU ARE PROHIBITED from modifying the operating system and default storage or security settings and from downloading any software (also known as applications or "Apps") solely for personal use or entertainment on this device. Do not modify the default setting for retention of text messages on this device.

You are prohibited from expending any non-appropriated funds (e.g., your personal money or the funds of a third party) to acquire or download any software, tools, data, applications, or other goods or services onto this device, for governmental purposes.

You are prohibited from downloading any Apps that are not included in the EPA App Catalog on your mobile device. Apps listed in the App Catalog have been approved for Agency authorized use.

Additional policies and procedures, particularly regarding the use of social media, may be found in EPA's Web Guide, (b) (6) (b) (6) and the Managing Social Media Records Procedure, (b) (6)

Personal Property Policy

This device is subject to EPA's Personal Property Policy and Procedures Manual, No. 4832. EPA may hold its employees liable for the loss, damage, or destruction of government personal property or for the unauthorized use of equipment. 5 U.S.C. § 301.

Employee Mobile Device Acknowledgement Form (Page 3 of 5)

Security Notifications

Box 1 Cont.

As covered in EPA's information security policy, you are responsible for:

- Knowing information security requirements associated with the use of mobile devices.
- Ensuring the physical security of mobile devices (e.g., do not check with luggage or leave unattended).
- Promptly contacting your Information Security Officer (ISO) and the EPA Call Center in the event a mobile device is lost or stolen.
- Promptly contacting your ISO and the EPA Call Center in the event of a suspected or actual information breach.

International Travel

In order to safeguard EPA's information and systems, all employees, contractors, and other users are required to follow the Agency's [International Travel Procedure for Mobile Devices](#) while on international travel, including the specific requirements for high risk locations.

(b) (6)

(b) (6)

BOX 2

Your obligations and attestation

Required for all new devices and transfers:

By using this device, you acknowledge that you understand and will comply with the terms set forth above.

Print Name

Employee Signature

Date

Required for employees returning devices:

I hereby attest that I have met my obligation to preserve agency records transmitted or stored on this device in the course of official agency business that may be subject to preservation or production requirements under the Federal Records Act, the Privacy Act, the Freedom of Information Act, litigation holds, or court preservation orders. By signing below, I attest that all such records have been preserved on EPA systems in a manner consistent with EPA guidance and are not solely preserved on this mobile device.

Andrew Wheeler

Print Name

Employee Signature

1-15-2021
Date

Employee Mobile Device Acknowledgement Form (Page 4 of 5)

Required for all instances of lost, stolen, or broken devices:

Box 2 Cont.

Please provide a brief description of your use of the device, including any potential agency records, as described above, that may have been present on the device when lost, stolen or broken, and a description of the circumstances surrounding the loss including approximate date of loss. By signing below, you certify that this description is true and correct to the best of your knowledge and belief:

Print Name

Supervisor's Name:

Employee Signature

Date

For Supervisors and/or RLOs: Required for instances when employee is unable to certify that records are managed:

You are required to manage any records and/or content on this device! Before the device may be canceled / repurposed, you will need to contact EZ-Tech or your local helpdesk to reset the device password. At that point, you will be required to manage any records and/or content on the device required for preservation and certify below. Litigation hold information can be obtained at the OEI-OEIP Intranet site (b) (6) or by contacting your Records Liaison Officer.

Please note that eBusiness will be unable to process a cancellation for any device without this signed certification form.

I hereby attest that, I have met my obligation to preserve agency records transmitted or stored on this device in the course of official agency business that may be subject to preservation or production requirements under the Federal Records Act, the Privacy Act, the Freedom of Information Act, litigation holds, or court preservation orders. By signing below, I attest that all such records have been preserved on EPA systems in a manner consistent with EPA guidance and are not solely preserved on this mobile device.

Print Name (Supervisor/RLO)

Supervisor/RLO Signature

Date

If you are unable to reset the password, please provide a brief description of the reason(s) that you are unable to certify as to the use and management of content on this device.

Employee Mobile Device Acknowledgement Form (Page 5 of 5)

Box 2 Cont.

Final disposition decisions regarding unmanaged content and/or inaccessible devices must be made on a case-by-case basis, depending on factors such as the likely content of the device and role of the individual(s) who used the device. Please contact your Records Liaison Officer and/or counsel to determine next steps. Next steps may include additional documentation or, in some cases, contacting the National Records and Archives Administration and/or the Department of Justice for advice on appropriate disposition of unmanaged devices.

Print Supervisor Name

Supervisor Signature

Date

EPA Policies and Procedures Referenced in this Document

Mobile Computing Management Policy: (b) (6)

Mobile Computing Management Procedures: (b) (6)

Records Management Policy: (b) (6)

EPA's Limited Personal Use of Government Equipment: (b) (6)

EPA's Web Guide: (b) (6)

International Travel Procedure for Mobile Devices: (b) (6)

Terms of Service Agreements: (b) (6)

Managing Social Media Records Procedure: (b) (6)

Employee Mobile Device Acknowledgement Form (Page 1 of 5)

IPHONE

EPA PROPERTY DECAL #/ IMEI # (EXCEPT NEW DEVICE ORDERS): DECAL: SP4183/IMEI: 359466089635601

This form is being completed to authorize a (check one only):

1. DEVICE UPGRADE/REPLACEMENT (RETURN OF OLD DEVICE AND ASSIGNMENT OF NEW DEVICE) ☐
2. NEW DEVICE (NO OLD DEVICE, ASSIGNMENT OF NEW DEVICE) ☐
3. DEVICE RETURN (RETURN OF OLD DEVICE, NO NEW DEVICE ASSIGNED) ☐
4. DEVICE WITH NO CONTENT CAPACITY (E.G. AIR CARDS, ACCESSORIES) ☒

- SIGNATURE OF ORDERING OFFICIAL FOR DEVICE WITH NO CONTENT CAPACITY — NO FURTHER ACTION REQUIRED: _____

The signed copy of this notice is to be stored in the EPA's eBusiness system with the record for the associated device. In cases where the device is being replaced with a new device, the new device cannot be issued until the MD Acknowledgement form for the previous device is received.

INSTRUCTIONS (TO BE COMPLETED FOR ACTION 1-3 ABOVE):

1. EMPLOYEE MUST READ ALL INFORMATION IN BOX 1 BELOW
2. EMPLOYEE MUST SIGN ATTESTATION IN BOX 2 BELOW
3. UPLOAD COMPLETED FORM TO EBUSINESS
4. PROVIDE DEVICE TO EMPLOYEE/ACCEPT DEVICE FROM EMPLOYEE WITH A SIGNED COPY OF THE MD ACKNOWLEDGMENT FORM

BOX 1

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You are accessing a U.S. Government information system, which includes: (1) this mobile device, (2) any U.S. Government network you connect to with this device, and (3) all devices and storage media attached to this network or to a computer or mobile device on this network. This information system is provided for U.S. government-authorized use only. Unauthorized or improper use of this system or your EPA email address may result in disciplinary action, as well as civil and criminal penalties. By using this information system you understand and consent to the following: You have no reasonable expectation of privacy regarding any communications or data transiting or stored on this information system. You are not to backup records to personal email accounts, devices, or personal files. At any time, the government may for any lawful governmental purpose monitor, intercept, wipe or reset, search and seize any communication or data transiting or stored on this information system. Any communications or data transiting or stored on this information system may be disclosed or used for any lawful government purpose.

EPA reserves the right to install or update a mobile device management software to secure, monitor, manage and support mobile devices deployed across the Agency.

You Have a Duty to Retain Records

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Employee Mobile Device Acknowledgement Form (Page 2 of 5)

Box 1 Cont.

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(Note: Records may be preserved by forwarding them to your EPA email account and filing them using EZ Records, or copying, saving, downloading or otherwise transferring and reproducing them to an EPA system.)

Quick Reference Guide, How to Save Text Messages:

(b) (6)

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Mobile and Portable Devices, and Records:

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You are prohibited from expending any non-appropriated funds (e.g., your personal money or the funds of a third party) to acquire or download any software, tools, data, applications, or other goods or services onto this device, for governmental purposes.

You are prohibited from downloading any Apps that are not included in the EPA App Catalog on your mobile device. Apps listed in the App Catalog have been approved for Agency authorized use.

Additional policies and procedures, particularly regarding the use of social media, may be found in EPA's Web Guide, (b) (6) (b) (6) and the Managing Social Media Records Procedure. (b) (6)

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Box 1 Cont.

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- Promptly contacting your Information Security Officer (ISO) and the EPA Call Center in the event a mobile device is lost or stolen.
- Promptly contacting your ISO and the EPA Call Center in the event of a suspected or actual information breach.

International Travel

In order to safeguard EPA's information and systems, all employees, contractors, and other users are required to follow the Agency's International Travel Procedure for Mobile Devices while on international travel, including the specific requirements for high risk locations.

(b) (6)

BOX 2

Your obligations and attestation

Required for all new devices and transfers:

By using this device, you acknowledge that you understand and will comply with the terms set forth above.

Print Name

Employee Signature

Date

Required for employees returning devices:

I hereby attest that I have met my obligation to preserve agency records transmitted or stored on this device in the course of official agency business that may be subject to preservation or production requirements under the Federal Records Act, the Privacy Act, the Freedom of Information Act, litigation holds, or court preservation orders. By signing below, I attest that all such records have been preserved on EPA systems in a manner consistent with EPA guidance and are not solely preserved on this mobile device.

Andrew Wheeler

Print Name

Employee Signature

1-15-2021

Date

Employee Mobile Device Acknowledgement Form (Page 4 of 5)

Required for all instances of lost, stolen, or broken devices:

Box 2 Cont.

Please provide a brief description of your use of the device, including any potential agency records, as described above, that may have been present on the device when lost, stolen or broken, and a description of the circumstances surrounding the loss including approximate date of loss. By signing below, you certify that this description is true and correct to the best of your knowledge and belief:

Print Name

Supervisor's Name:

Employee Signature

Date

For Supervisors and/or RLOs: Required for instances when employee is unable to certify that records are managed:

You are required to manage any records and/or content on this device! Before the device may be canceled / repurposed, you will need to contact EZ-Tech or your local helpdesk to reset the device password. At that point, you will be required to manage any records and/or content on the device required for preservation and certify below. Litigation hold information can be obtained at the OEI-OEIP Intranet site (b) (6) or by contacting your Records Liaison Officer.

Please note that eBusiness will be unable to process a cancellation for any device without this signed certification form.

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Print Name (Supervisor/RLO)

Supervisor/RLO Signature

Date

If you are unable to reset the password, please provide a brief description of the reason(s) that you are unable to certify as to the use and management of content on this device.

Employee Mobile Device Acknowledgement Form (Page 5 of 5)

Box 2 Cont.

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Print Supervisor Name

Supervisor Signature

Date

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Managing Social Media Records Procedure: (b) (6)



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PERSONNEL BACKGROUND INFORMATION

Name: Henry Darwin Job Title: Assistant Deputy Administrator and Chief Operating Officer Date: 1/6/2021
 Supervisor: Administrator Andrew Wheeler Office: Office of the Administrator Records Liaison Officer (RLO): Lena Ferris
 Brief description of job duties: Executive leadership and management of the agency's operations
 Describe major records that you maintain: N/A

Employment Status: EPA Employee ☒ or Other ☐ (Specify: _____) Location: Phoenix, AZ

Separating ☒ or Transferring ☐ Separated ☐ Approximate date of action: 1/20/2021

If transferring – New Program/Region: _____ Office: _____ Location: _____

New RLO: _____

POTENTIAL RECORD SOURCES TO BE REVIEWED

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		Initial			Initial			
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2.	Portable electronic storage devices (CDs, DVDs, USBs, floppies, etc.) (List in comments)	HD		LF	9.	Superfund Records Center <i>initialed by Records Contact/Designee</i> • Returned all files checked out • Submitted new records to be filed	N/A	LF
3.	Agency provided and personal mobile devices (cell phone, iPhone, iPad, other cell phone, tablet, etc.,)	HD		LF	10.	Employee's workspace checked for records (If not transferred, who will transfer? List name in comments.)	HD	LF
4.	Local Area Network files and Shared drive(s), transfer electronic files to EZ Desktop.	HD		LF	11.	Confidential Business Information (CBI) <i>initialed by Document Control Officer (DCO).</i> Returned all files checked out Submit request to DCO to terminate CBI Authorized Access.	N/A	LF
5.	Local hard drive and records on personal computer	HD		LF	12.	Identify any known open FOIA requests assigned to you for which the collection has not been completed by name/number; list in comments.	HD	LF
6.	Microsoft Office Collaboration Tools (SharePoint, OneDrive, etc.) (List the tools in comments.) Transfer database ownership (see Registry of EPA Applications, Models and Data Warehouses (READ))	HD		LF	13.	Identify and preserve current or potential litigation hold materials. If you have been identified as a litigation hold custodian or data steward, for each hold, use the comments section to (a) list the litigation hold and case attorney names, (b) describe the litigation hold materials in your possession, custody or control, and (c) list the location of those materials. To obtain a list of your litigation holds, go to (b) (6)	HD	LF
7.	Desktop Geographic Information Systems (GIS), local GIS servers, and GeoPlatform	N/A		LF	14.	Identify and preserve existing audit or Congressional inquiry materials for which you have been identified as a custodian by name/number in comments.	HD	LF

COMMENTS: For any items requiring additional notation or if any box above is left blank, you must provide an explanation. If there are any other areas where you have stored records, please describe them and their disposition here. Additional pages may be attached as needed.

No text messages on mobile device. All files moved and available on OneDrive (private). Paper records left in office suite WJCN 3412.

COMPLETE FOR STAFF TRANSFERRING WITHIN EPA

The RLO for the originating office fills in the following information.

When this form is complete, a copy must be sent to the RLO for the new program/region. The originating office RLO must also notify the ECMS Help Desk (ecms@epa.gov) to move the transferring staff's ECMS registration to the new program/region.

Originating Office RLO Name: _____ Program/Region _____ Office _____

New Office RLO Name: _____ Program/Region _____ Office _____

CERTIFICATIONS

To the best of my knowledge, I certify that all U.S. Government documentary materials including litigation hold, audit, and congressional inquiry materials, in any format, have been identified and transferred to the appropriate recordkeeping system or designee and that the statements made on this Checklist are true, accurate, and complete.

1. Employee (signature) Henry Darwin (print name) Henry Darwin Date: 1/12/2021
WESLEY CARPENTER Digitally signed by WESLEY CARPENTER
Date: 2021.02.01 14:36:53 -05'00'

2. Supervisor/designee (signature) _____ (print name) _____ Date: _____

OR for Senior Officials

IMO/designee (signature) _____ (print name) _____ Date: _____

3. RLO/designee (signature) Lena Ferris (print name) Lena Ferris Date: 1/12/21

INSTRUCTIONS

This Checklist is to be utilized as detailed in EPA's **Procedure on Preservation of Separating, Transferring or Separated Personnel's Records in Accordance with the Federal Records Act**. The purpose of the Checklist is to help EPA personnel identify all potential locations of records in their custodianship. For personnel who have separated, the supervisor/manager should review the person's records first, and ensure actions taken on records are documented on EPA Form 3110-49. See Preservation of Separating, Transferring or Separated Personnel Records, Section III A and B, Separated Personnel, https://www.epa.gov/sites/production/files/2020-07/documents/preservation_separating_transferring_or_separated_personnel_records.pdf; 44 U.S.C. § 3106; Unlawful removal, destruction of records 36 CFR § 1230 Unlawful or Accidental Removal, Defacing, Alteration or Destruction of Records https://www.ecfr.gov/cgi-bin/text-idx?SID=8ca786c32479fb9fba535f5d1c3c61d9&mc=true&tpl=/ecfrbrowse/Title36/36cfr1230_main_02.tpl

PERSONNEL BACKGROUND INFORMATION SECTION to be completed by Employee or Supervisor.

For the statement "Describe major records that you maintain," if the individual does not have specific records management responsibilities, "routine recordkeeping responsibilities" may be entered.

POTENTIAL RECORD SOURCES TO BE REVIEWED SECTION

Employee, Supervisor/Designee, Records Liaison Officer (RLO)/Designee must all initial the Checklist for each numbered item.

1. Initial in the "completed" box next to each description to note that records have been identified, captured in an approved recordkeeping system or transferred to another employee, or enter "N/A" if that item is not applicable for that individual. (Not every description will be applicable to all personnel, i.e., not all personnel have an EPA provided iPhone, etc.)
2. If any box is left blank, provide explanation in the comment field.
3. For items requiring additional notations, use the comment field, noting the item number being clarified.
4. Supervisor and RLO/designee are responsible for resolving any item which has not been initialed. Final resolution should be noted in the comments section of the Checklist when completed.

CERTIFICATIONS SECTION

If the individual has already separated from EPA, insert "N/A-already separated" on the Employee signature line. The supervisor or designee and the RLO will be responsible for completing this checklist and certifying, to the best of their knowledge, that all records were properly identified and saved to a recordkeeping system. This completed, certified original Checklist should be maintained by the local Records Liaison Officer/designee in accordance with Schedule 0568 or appropriate subsequent schedule.

Employee Mobile Device Acknowledgement Form (Page 1 of 5)

EPA PROPERTY DECAL #/ IMEI # (EXCEPT NEW DEVICE ORDERS): DECAL ST2374/IMEI 356447109050107

This form is being completed to authorize a (check one only):

- | | |
|---|----------|
| 1. DEVICE UPGRADE/REPLACEMENT (RETURN OF OLD DEVICE AND ASSIGNMENT OF NEW DEVICE) | _____ |
| 2. NEW DEVICE (NO OLD DEVICE, ASSIGNMENT OF NEW DEVICE) | _____ |
| 3. DEVICE RETURN (RETURN OF OLD DEVICE, NO NEW DEVICE ASSIGNED) | <u>✓</u> |
| 4. DEVICE WITH NO CONTENT CAPACITY (E.G. AIR CARDS, ACCESSORIES) | _____ |
- SIGNATURE OF ORDERING OFFICIAL FOR DEVICE WITH NO CONTENT CAPACITY – NO FURTHER ACTION REQUIRED:

The signed copy of this notice is to be stored in the EPA's eBusiness system with the record for the associated device. In cases where the device is being replaced with a new device, the new device cannot be issued until the MD Acknowledgement form for the previous device is received.

INSTRUCTIONS (TO BE COMPLETED FOR ACTION 1-3 ABOVE):

1. EMPLOYEE MUST READ ALL INFORMATION IN BOX 1 BELOW
2. EMPLOYEE MUST SIGN ATTESTATION IN BOX 2 BELOW
3. UPLOAD COMPLETED FORM TO EBUSINESS
4. PROVIDE DEVICE TO EMPLOYEE/ACCEPT DEVICE FROM EMPLOYEE WITH A SIGNED COPY OF THE MD ACKNOWLEDGMENT FORM

BOX 1

Employee Mobile Device Notice

You Have No Expectation of Privacy for Any Activity on this Device

You are accessing a U.S. Government information system, which includes: (1) this mobile device, (2) any U.S. Government network you connect to with this device, and (3) all devices and storage media attached to this network or to a computer or mobile device on this network. This information system is provided for U.S. government-authorized use only. Unauthorized or improper use of this system or your EPA email address may result in disciplinary action, as well as civil and criminal penalties. By using this information system you understand and consent to the following: You have no reasonable expectation of privacy regarding any communications or data transiting or stored on this information system. You are not to backup records to personal email accounts, devices, or personal files. At any time, the government may for any lawful governmental purpose monitor, intercept, wipe or reset, search and seize any communication or data transiting or stored on this information system. Any communications or data transiting or stored on this information system may be disclosed or used for any lawful government purpose.

EPA reserves the right to install or update a mobile device management software to secure, monitor, manage and support mobile devices deployed across the Agency.

You Have a Duty to Retain Records

This device is subject to EPA's Records Management Policy, CIO 2155.3 (approved February 10, 2015). You have an obligation to preserve agency records transmitted or stored on this device in the course of official agency business that may be subject to preservation or production requirements under the Federal Records Act, the Privacy Act, the Freedom of Information Act, litigation holds, or court preservation orders. Such records may include, but are not limited to, text messages, email messages, voicemail messages, photographs, call logs and calendar entries. Before returning this device, you must ensure that you have met your duties to preserve such information.

Employee Mobile Device Acknowledgement Form (Page 2 of 5)

Box 1 Cont.

Notice to Users who are returning mobile devices: You have an obligation to preserve all records for the purposes listed or described in the above paragraph that are located on your current mobile device(s). By accepting this new device and by signing this notice, you hereby attest that you have met your obligation to preserve all such records before such devices are returned to the Agency. Knowing or willful misrepresentation with respect to these matters may subject you to administrative, civil, or criminal penalties.

(**Note:** Records may be preserved by forwarding them to your EPA email account and filing them using EZ Records, or copying, saving, downloading or otherwise transferring and reproducing them to an EPA system.)

Quick Reference Guide, How to Save Text Messages:

(b) (6)

Mobile and Portable Devices, and Records:

(b) (6)

Limited Personal Use of Government Equipment

Use of this device is subject to EPA's Limited Personal Use of Government Equipment Policy, CIO 2101.0. You cannot use this device for any unlawful purpose or for any purpose prohibited by EPA policy. Prohibited activities include but are not limited to pornography, gambling, political activity, charitable fundraising, or compensated outside activity.

Specific Rules Regarding Mobile Devices and Mobile Device Software

As a user of a government-issued mobile device, YOU ARE PROHIBITED from modifying the operating system and default storage or security settings and from downloading any software (also known as applications or "Apps") solely for personal use or entertainment on this device. Do not modify the default setting for retention of text messages on this device.

You are prohibited from expending any non-appropriated funds (e.g., your personal money or the funds of a third party) to acquire or download any software, tools, data, applications, or other goods or services onto this device, for governmental purposes.

You are prohibited from downloading any Apps that are not included in the EPA App Catalog on your mobile device. Apps listed in the App Catalog have been approved for Agency authorized use.

Additional policies and procedures, particularly regarding the use of social media, may be found in EPA's Web Guide, (b) (6) and the Managing Social Media Records Procedure, (b) (6)

Personal Property Policy

This device is subject to EPA's Personal Property Policy and Procedures Manual, No. 4832. EPA may hold its employees liable for the loss, damage, or destruction of government personal property or for the unauthorized use of equipment. 5 U.S.C. § 301.

Employee Mobile Device Acknowledgement Form (Page 3 of 5)

Security Notifications

Box 1 Cont.

As covered in EPA's information security policy, you are responsible for:

- Knowing information security requirements associated with the use of mobile devices.
- Ensuring the physical security of mobile devices (e.g., do not check with luggage or leave unattended).
- Promptly contacting your Information Security Officer (ISO) and the EPA Call Center in the event a mobile device is lost or stolen.
- Promptly contacting your ISO and the EPA Call Center in the event of a suspected or actual information breach.

International Travel

In order to safeguard EPA's information and systems, all employees, contractors, and other users are required to follow the Agency's [International Travel Procedure for Mobile Devices](#) while on international travel, including the specific requirements for high risk locations.

(b) (6)

BOX 2

Your obligations and attestation

Required for all new devices and transfers:

By using this device, you acknowledge that you understand and will comply with the terms set forth above.

Print Name

01/12/2021

Employee Signature

Date

Required for employees returning devices:

I hereby attest that I have met my obligation to preserve agency records transmitted or stored on this device in the course of official agency business that may be subject to preservation or production requirements under the Federal Records Act, the Privacy Act, the Freedom of Information Act, litigation holds, or court preservation orders. By signing below, I attest that all such records have been preserved on EPA systems in a manner consistent with EPA guidance and are not solely preserved on this mobile device.

Henry Darwin

Print Name

HENRY
DARWIN

Digitally signed by HENRY
DARWIN
Date: 2021.01.12 11:17:26
-07'00'

01/12/2021

Employee Signature

Date

Employee Mobile Device Acknowledgement Form (Page 4 of 5)

Required for all instances of lost, stolen, or broken devices:

Box 2 Cont.

Please provide a brief description of your use of the device, including any potential agency records, as described above, that may have been present on the device when lost, stolen or broken, and a description of the circumstances surrounding the loss including approximate date of loss. By signing below, you certify that this description is true and correct to the best of your knowledge and belief:

Print Name

Supervisor's Name: _____

Employee Signature

01/12/2021

Date

For Supervisors and/or RLOs: Required for instances when employee is unable to certify that records are managed:

You are required to manage any records and/or content on this device! Before the device may be canceled / repurposed, you will need to contact EZ-Tech or your local helpdesk to reset the device password. At that point, you will be required to manage any records and/or content on the device required for preservation and certify below. Litigation hold information can be obtained at the OEI-OEIP Intranet site (b) (6) or by contacting your Records Liaison Officer.

Please note that eBusiness will be unable to process a cancellation for any device without this signed certification form.

I hereby attest that, I have met my obligation to preserve agency records transmitted or stored on this device in the course of official agency business that may be subject to preservation or production requirements under the Federal Records Act, the Privacy Act, the Freedom of Information Act, litigation holds, or court preservation orders. By signing below, I attest that all such records have been preserved on EPA systems in a manner consistent with EPA guidance and are not solely preserved on this mobile device.

Print Name (Supervisor/RLO)

Supervisor/RLO Signature

Date

If you are unable to reset the password, please provide a brief description of the reason(s) that you are unable to certify as to the use and management of content on this device.

Employee Mobile Device Acknowledgement Form (Page 5 of 5)

Box 2 Cont.

Final disposition decisions regarding unmanaged content and/or inaccessible devices must be made on a case-by-case basis, depending on factors such as the likely content of the device and role of the individual(s) who used the device. Please contact your Records Liaison Officer and/or counsel to determine next steps. Next steps may include additional documentation or, in some cases, contacting the National Records and Archives Administration and/or the Department of Justice for advice on appropriate disposition of unmanaged devices.

Print Supervisor Name

Supervisor Signature

Date

EPA Policies and Procedures Referenced in this Document

Mobile Computing Management Policy: (b) (6)

Mobile Computing Management Procedures: (b) (6)

Records Management Policy: (b) (6)

EPA's Limited Personal Use of Government Equipment: (b) (6)

EPA's Web Guide (b) (6)

International Travel Procedure for Mobile Devices: (b) (6)

Terms of Service Agreements (b) (6)

Managing Social Media Records Procedure: (b) (6)